

ATTORNEY DOCKET NO. TEQ 01117 PIUS

3628  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Douglas R. Elliott

For : METHOD OF REPEATEDLY SECURITIZING INTELLECTUAL  
PROPERTY ASSETS AND FACILITATING INVESTMENTS THEREIN

U.S. Serial No.: 09/758,624  
Filed: January 11, 2001  
Group Art Unit: 3628  
Examiner: DASS, Harish T

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING	
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Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	
on	<u>Dec. 10, 2004</u>
Name:	<u>Karen Roper</u>

**INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 C.F.R. §§ 1.97 & 1.98**

Dear Sir:

Pursuant to the provisions of 37 C.F.R. § 1.97, Applicant hereby makes of record the references set forth in the attached forms pursuant to 37 C.F.R. § 1.56(e). No inference should be made that the cited references are in fact material, are in fact prior art or that no better art exists. The cited references are not listed in any order based on their pertinence.

Pursuant to the provisions of 37 C.F.R. § 1.98(d), Applicant hereby makes of record the references set forth in the attached forms PTO/SB/08A (1 page) and PTO/SB/08B (2 pages), copies of which were previously submitted with or cited by the Examiner during prosecution of U.S. Application Serial No. 09/481,126, titled "METHOD FOR OBTAINING AND ALLOCATING INVESTMENT INCOME BASED ON THE CAPITALIZATION OF INTELLECTUAL PROPERTY," filed on January 11, 2000, of which the present continuation application relies on for an earlier effective filing date under 35 U.S.C. 120.

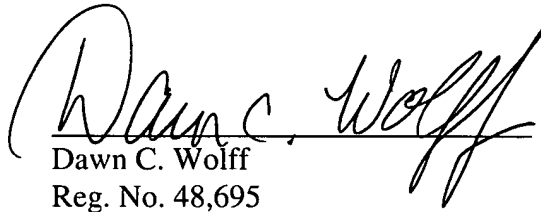
No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of this material in any way reflects the relative pertinence. The references cited are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed are properly citable against the above-identified application.

It is requested that the Examiner fully consider the cited references and that they be cited on the front of any patent issuing from this application.

It is believed that no fee is due in conjunction with the filing of this Information Disclosure Statement. However, if a fee for filing this Information Disclosure Statement is required, please charge such fee to Deposit Account No. 50-2180 of Paul Storm, P.C.

Respectfully submitted,

STORM & HEMINGWAY, L.L.P.

  
Dawn C. Wolff  
Reg. No. 48,695

8117 Preston Road  
Suite 460  
Dallas, TX 75225  
214-292-8995  
214-292-8999 (fax)



Approved for use through 07/31/2006. OMB 0651-0031

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Sheet

1

of

3

**Complete if Known**

Application Number	09/758,624
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Filing Date	01/11/2001
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First Named Inventor	Elliott, Douglas
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Art Unit	3628
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Examiner Name	Harish T. Dass
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Attorney Docket Number	TEQ01117P1US
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## U. S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

[illegible]

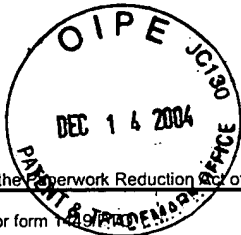
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	09/758,624		
		Filing Date	11/11/2001		
		First Named Inventor	Elliott, Douglas		
		Art Unit	3628		
		Examiner Name	Harish T. Dass		
Sheet	2	of	3	Attorney Docket Number	TEQ01117P1US

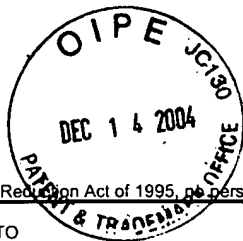
NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BA	THURM, Scott, "A Flood of Web Patents Stirs Dispute Over Tactics," The Wall Street Journal, Oct. 9, 1998, pp. B1, B4.	
	BB	FREMGEN, James M., Accounting for Managerial Analysis, 1972, pp. 388-399, Richard D. Irwin, Inc., Homewood, IL, USA.	
	BC	"Industry Trends in Research Support and Links to Public Research," June 25, 1998, National Science Board.	
	BD	GRAEF, Jean, "Measuring Intellectual Assets", Montague Institute Review, March 1, 1997.	
	BE	BOWEN, Ted Smalley, "Aurigin Application Helps Users Get a Grip on Intellectual Assets", Enterprise Computing, 1998, InfoWorld Publishing Co., San Mateo, CA	
	BF	BINGAMAN, Anne, "Antitrust, Innovation and Intellectual Property," presented to the Program on Antitrust & Intellectual Property, 10/7/1994, Stanford Law School, Stanford, CA	
	BG	Standard Federal Tax Reports, Code Section 174, "Research Expenditures," 1997, pp. 27,118-27,151, Commerce Clearing House, Inc.	
	BH	KLEIN, Joel I., "Cross-Licensing and Antitrust Law" presented to the American Intellectual Property Law Association on 5/02/1997, San Antonio, Tx., pp. 4-5.	
	BI	CARNEY, Robert T. and MCGAVOCK, Daniel M., "Tax Strategies for Protecting Value of IP," March 1997, pp. 21-22, les Nouvelles.	
	BJ	SOLT, Michael E., "SWORD Financing of Innovation in the Biotechnology Industry," Financial Management, Summer 1993, Vol. 22, No. 2, p. 173 et seq.	

Examiner Signature		Date Considered	
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Attorney Docket Number	TEQ01117P1US

Sheet 3 of 3

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BK	"Managing, Valuing and Protecting Intellectual Assets", Report No. 1182-97-CH, 1997, The Conference Board.	
	BL	MCGAVOCK, Danial M., and LASINSKI, Michael J., "IP Survey Finds 'Gap' in Information," September 1998, p. 113, les Nouvelles.	
	BM	Trade Regulation Reports, "Patents, Trademarks, Copyrights," Sections 5080, 5085 & 5100, 1989, Commerce Clearing House, Inc.	
	BN	ORLEANS, G.P., "Pricing Technology Licensing," Licensing Law Handbook, Ch. 2, pp. 119-131 & 277, 1982, Clark Boardman Co., Ltd., New York, NY.	
	BO	Antitrust Guidelines for the Licensing of Intellectual Property, April 6, 1995, U.S. Department of Justice & the Federal Trade Commission.	

Examiner Signature	Date Considered
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